



PTO/SB/08A (10-01)
Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

2

Complete if Known

Application Number	09/534,191
Filing Date	03/24/2000
First Named Inventor	Chan W. Lee
Art Unit	2759
Examiner Name	Not yet assigned
Attorney Docket Number	042390.P4740

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
SM	1	US- 5,809,522	09-15-1998	Novak et al.	
	2	US-			
	3	US-			
	4	US-			
	5	US-			
	6	US-			
	7	US-			
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	10	US-			
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	20	US-			

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Examiner Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
SM	21	EP 0 768 608 A2	04-16-1997	Sun Microsystems, Inc.		
SM	22	EP 0 768 608 A3	04-16-1997	Sun Microsystems, Inc.		
SM	23	EP 0 856 797 A1	08-05-1998	SGS-Thomson Microelectronics, I.T.D.		
SM	24	GB 2311880 A	10-08-1997	Advanced RISC Machines Limited		
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Date Considered

4/21/03

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

2 of 2

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Filing Date	03/24/2000
First Named Inventor	Chan W. Lee
Group Art Unit	2759
Examiner Name	Not yet assigned
Attorney Docket Number	042390.P4740

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
JM	31	DONGWOOK K ET AL: "A PARTITIONED ON-CHIP VIRTUAL CACHE FOR FAST PROCESSORS" JOURNAL OF SYSTEMS ARCHITECTURE, ELSEVIER SCIENCE PUBLISHERS BV., AMSTERDAM, NL, vol. 43, no. 8, 1 May 1997 (1997-05-01), pages 519-531, XP000685730	
JM	32	PCT-International Search Report-PCT/US01/01577, September 10, 2001.	
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Form PTO-1449 (Modified)				Atty Docket No.: 042390.P4740	Serial No.: 09/534,191		
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: Chan W. Lee, et al.	RECEIVED		
				Filing Date: March 24, 2000	DEC 10 2001 Technology Center 2100		
REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub-Class	Filing Date
<i>jm</i>	1	11/1/94	5361337	Okin			
<i>jm</i>	2	2/21/95	5392437	Matter, et al.			
<i>jm</i>	3	12/17/96	5586332	Jain, et al.			
<i>jm</i>	4	5/13/97	5630,130	Perotto, et al.			
<i>jm</i>	5	7/28/98	5787297	Lin			
<i>jm</i>	6	4/6/99	5892959	Fung			
<i>jm</i>	7	11/9/99	5983339	Klim			
<i>jm</i>	8	4/18/00	6052708	Flynn, et al.			
<i>jm</i>	9	7/11/00	6088788	Borkenhagen, et al.			
<i>jm</i>	10	4/3/01	US6212544 B1	Borkenhagen, et al.			
<i>jm</i>	11	7/3/01	US6256775 B1	Flynn			
FOREIGN PATENT DOCUMENTS							
No.		Document No.	Date	Country Name	Class	Sub-Class	Trans-lation
<i>m</i>		EP0864960A1	13-03-1998	European	G06F 1/26		
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)							
<i>m</i>	DEAN M. TULLSEN, et al. "Exploiting Choice: Instruction Fetch and Issue on an Implementable Simultaneous Multithreading Processor" Dept. of Computer Science & Engineering, University of WA, Seattle, WA ROA P. POKALA, et al., "Physical Synthesis for Performance Optimization", Vertex Semiconductor, San Jose, CA GREGORY T. BYRD, et al., "MULTITHREADED Processor Architectures", Western Carolina University, 8045 IEEE Spectrum, 32(1995) August, No. 8, New York, US MARK R. THISTLE, et al., "A Processor Architecture For Horizon", Institute for Defense Analyses, Supercomputing Research Center, Lanham, Maryland 20706						
Examiner <i>SJ</i>	Date Considered 4/21/03						
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

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PTO/SB/08A (10-96)

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Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99)		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(use as many sheets as necessary)</small>		JUN 18 2001 U.S. PATENT AND TRADEMARK OFFICE	Application Number 09/534,191 Filing Date March 24, 2000 First Named Inventor Dion ROGERS, et al. Group Art Unit 2759 Examiner Name Not yet assigned
Sheet	1	of	1
		Attorney Docket Number 042390.P4740	

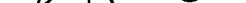
U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
AN	European	EP0747816		International Business Machines Corp.	12/11/1996	No
	PCT	WO99/21088		International Business Machines Corp.	04/29/1999	No

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
	PCT Written Opinion, 4/26/2001, PCT/US00/10800	No

Examiner Signature		Date Considered	4/21/03
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				First Named Inventor	Chan W. Lee
				Group Art Unit	2759
				Examiner Name	Not yet assigned
Sheet	1	of	2	Attorney Docket Number	042390.P4740

U.S. PATENT DOCUMENTS

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Examiner Initials *		Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
		Office or Country	Number	Date			
TM		European	0 962 856 A2	5.28.1999	Texas Instruments Inc.	12.8.1999	

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
<u>TM</u>	STEERE D et al., "A Feedback-driven Proportion Allocator for Real-Rate Scheduling", <u>Third Symposium on Operating Systems Design and Implementations</u> , February 22-25 1999, Pages 145-158, XP002153159.	
<u>AM</u>	INTEL, "P6 Family of Processors", <u>Hardware Developer's Manual</u> , September 1998, XP-002153160.	
<u>gm</u>	IBM, "Improved Dispatching in a Rendering Context Manager", <u>IBM Technical Disclosure Bulletin</u> , December 1990, Pages 131-134, Vol. 33, No. 7, XP000108363 ISSN: 0018-8689, Armonk, NY.	

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PTO/SB/08A (10-96)

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				Filing Date	March 24, 2000
				First Named Inventor	Chan W. Lee
				Group Art Unit	2759
				Examiner Name	Not yet assigned
Sheet	2	of	2	Attorney Docket Number	042390.P4740

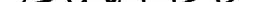
U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
<u>M</u>	FARRENS, MK; PLESZKUN, AR., "Strategies for Achieving Improved Processor Throughput", <u>The 18th Annual International Symposium on Computer Architecture</u> , May 27-30, 1991, Pages 362-369.	<u> </u>
<u>M</u>	MENDELSON, A; BEKERMAN, M., "Design Alternatives of Multithreaded Architecture", <u>International Journal of Parallel Programming</u> , December 9, 1996, Vol. 27, No. 3, Pages 161-193, Pulenum Publishing Corporation.	<u> </u>

Examiner Signature		Date Considered	4/21/03
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Form PTO-1449 (Modified)	Atty Docket No.:	Serial No.:
	042390.P4740	09/534,191

List of Patents and Publications Statement
(Use several sheets if necessary)

Page 1 of 1

Applicant:

Chan W. Lee et al.

Filing Date: March 24, 2000

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

Examiner Initials		Document No.		Class	Sub-Class	Filing date if appropriate
SPR	AA	5,430,850	Papadopoulos, et al.	395	375	Jul 22, 1991
CM	AB	5,499,349	Nikhil, et al.	395	375	Oct 3, 1994
MP 24 2000	AC	6,105,127	Kimura, et al.	712	215	Aug 27, 1997
SPR	AD	5,404,469	Chung, et al.	395	375	Feb 25, 1992
SPR	AE	6,092,175	Levy, et al.	712	23	Apr 2, 1998
SPR	AF	5,524,263	Griffith, et al.	395	800	Feb 25, 1994
SPR	AG	5,809,271	Colwell, et al.	395	384	Aug 23, 1995
	AH					
	AI					
	AJ					
	AK					

FOREIGN PATENT DOCUMENTS

No.		Document No.	Date	Country	Class	Sub-Class	Trans-lation
	AL						
	AM						
	AN						
	AO						
	AP						

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

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	AS	
	AT	

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Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99)		Complete if Known	
		Application Number	09/534,191
		Filing Date	March 24, 2000
		First Named Inventor	Dion RODGERS
		Group Art Unit	2759
		Examiner Name	Not Yet Assigned
Sheet	1	of	5
Attorney Docket Number			

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
M	PCT	WO 99/21082-		IBM Corporation	4/29/1999	No
CPM	European	0 352 935 /		International Computers Limited	1/31/1990	No
CPM	European	0 346 003		Fujitsu Limited	12/13/1989	No

OTHER DOCUMENTS

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	"Architectural and Implementation Tradeoffs in the Design of Multiple-Context Processors", James Laudon, Anoop Gupta and Mark Horowitz, Multithreaded Computer Architecture: A Summary of the State of the Art, chapter 8, pp. 167-200, Kluwer Academic Publishers 1994.	Yes/No
	"Multithreading for Rookies", Ruediger R. Asche, http://www.microsoft.com/win32dev/base/threads.htm , July 31, 1998.	

Examiner Signature		Date Considered	4/2/03
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	Office or Country	Number	Date			
TM	European	0 747 816 /		IBM	12/11/1996	No
CM	European	0 725 335		IBM	8/7/1996	No
TM	European	0 827 071		Matsushita Electric Industrial Co.	3/4/1998	No

OTHER DOCUMENTS

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<i>M</i>	"Performance Study of a Multithreaded Superscalar Microprocessor", Manu Gulati and Nader Bagherzadeh, Proceedings Second International Symposium on High-Performance Computer Architecture", February 3-7, 1996, pp 291-301.	
<i>Gm</i>	"Exploiting Choice: Instruction Fetch and Issue on an Implementable Simultaneous Multithreading Processor", Dean M. Tullsen, Susan J. Eggers, Joel S. Emer, Henry M. Levy, Jack L. Lo and Rebecca L. Stamm, Proceedings of the 23rd Annual International Symposium on Computer Architecture, May 22-24, 1996, pp 191-202.	

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gm	"Instruction Cache Fetch Policies for Speculative Execution", Dennis Lee, Jean-Loup Baer, Brad Calder and Dirk Grunwald, 22nd International Symposium on Computer Architecture, June 1995.	
m	"Multithreading Comes of Age", Peter Song, Microdesign Resources, July 14, 1997, pp 13-18.	

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Sheet	4	of	5	RECEIVED MAY 03 2001 Technology Center U.S. Patent and Trademark Office	

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<i>JW</i>	"Evaluation of Multithreaded Uniprocessors for Commercial Application Environments", Richard J. Eickemeyer, Ross E. Johnson, Steven R. Kunkel, Mark S. Squillante and Shiafun Liu, Proceedings of the 23rd Annual International Symposium on Computer Architecture. May 22-24, 1996, pp 203-212	
<i>JW</i>	Simon W. Moore, Multithreaded Processor Design, Kluwer Academic Publishers, 1996.	

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<i>M</i>	"A Benchmark Evaluation of a Multi-Threaded RISC Processor Architecture", R. Guru Prasad and Chuan-lin Wu, 1991 International Conference on Parallel Processing, pp I-84-I91.	<i>/</i>
		<i>/</i>

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